

**U.S. Department of Energy  
 FEDERAL ASSISTANCE REPORTING CHECKLIST  
 AND INSTRUCTIONS FOR RD&D PROJECTS**

1. Identification Number:	2. Program/Project Title:
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3. Recipient:

4. Reporting Requirements:	Frequency	No. of Copies	Addressees																				
<b>A. MANAGEMENT REPORTING</b>																							
<input type="checkbox"/> Research Performance Progress Report (RPPR)		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				
<b>B. SCIENTIFIC/TECHNICAL REPORTING</b>																							
(Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at <a href="http://www.osti.gov/elink">www.osti.gov/elink</a> .)																							
<table style="width:100%; border: none;"> <tr> <td style="width:35%; padding: 5px;">Report/Product</td> <td style="width:35%; padding: 5px;">Form</td> <td style="width:10%;"></td> <td style="width:20%;"></td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Final Scientific/Technical Report</td> <td style="padding: 5px;">DOE F 241.3</td> <td align="center">1</td> <td align="center"><a href="http://www.osti.gov/elink-2413">http://www.osti.gov/elink-2413</a></td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Conference papers/proceedings*</td> <td style="padding: 5px;">DOE F 241.3</td> <td align="center">1</td> <td align="center"><a href="http://www.osti.gov/elink-2413">http://www.osti.gov/elink-2413</a></td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Software/Manual</td> <td style="padding: 5px;">DOE F 241.4</td> <td align="center">1</td> <td align="center"><a href="http://www.osti.gov/estsc/241-4pre.jsp">http://www.osti.gov/estsc/241-4pre.jsp</a></td> </tr> <tr> <td style="padding: 5px;"><input type="checkbox"/> Other (see special instructions)</td> <td style="padding: 5px;">DOE F 241.3</td> <td></td> <td></td> </tr> </table>	Report/Product	Form			<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3	1	<a href="http://www.osti.gov/elink-2413">http://www.osti.gov/elink-2413</a>	<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3	1	<a href="http://www.osti.gov/elink-2413">http://www.osti.gov/elink-2413</a>	<input type="checkbox"/> Software/Manual	DOE F 241.4	1	<a href="http://www.osti.gov/estsc/241-4pre.jsp">http://www.osti.gov/estsc/241-4pre.jsp</a>	<input type="checkbox"/> Other (see special instructions)	DOE F 241.3					
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* <i>Scientific and technical conferences only</i>																							
<b>C. FINANCIAL REPORTING</b>																							
<input type="checkbox"/> SF-425 Federal Financial Report		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				
<b>D. CLOSEOUT REPORTING</b>																							
<input type="checkbox"/> Patent Certification		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				
<input type="checkbox"/> Other		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				
<b>E. OTHER REPORTING</b>																							
<input type="checkbox"/> Annual Indirect Cost Proposal		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				
<input type="checkbox"/> Audit of For-Profit Recipients		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				
<input type="checkbox"/> SF-428 Tangible Personal Property Report Forms Family		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				
<input type="checkbox"/> Other		1	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>																				

**FREQUENCY CODES AND DUE DATES:**

- A - Within 5 calendar days after events or as specified.
- F - Final; 90 calendar days after expiration or termination of the award.
- Y - Yearly; 90 days after the end of the reporting period.
- S - Semiannually; within 30 days after end of reporting period.
- Q - Quarterly; within 30 days after end of the reporting period.

5. Special Instructions:

All reports, except for those in B above, should be submitted through FedConnect.

## **Federal Assistance Reporting Instructions (11/10)**

### **A. MANAGEMENT REPORTING**

#### **Research Performance Progress Report (RPPR)**

See attached document entitled "Research Performance Progress Report".

### **B. SCIENTIFIC/TECHNICAL REPORTS**

#### **Final Scientific/Technical Report**

Content. The final scientific/technical report must include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. Identify the DOE award number; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.
2. Display prominently on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data. Reports delivered without such notices may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports.
3. Provide an executive summary, which includes a discussion of 1) how the research adds to the understanding of the area investigated; 2) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated; or 3) how the project is otherwise of benefit to the public. The discussion should be a minimum of one paragraph and written in terms understandable by an educated layman.
4. Provide a comparison of the actual accomplishments with the goals and objectives of the project.
5. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, problems encountered and departure from planned methodology, and an assessment of their impact on the project results. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions.
6. Identify products developed under the award and technology transfer activities, such as:
  - a. Publications (list journal name, volume, issue), conference papers, or other public releases of results. If not provided previously, attach or send copies of any public releases to the DOE Program Manager identified in Block 15 of the Assistance Agreement Cover Page;
  - b. Web site or other Internet sites that reflect the results of this project;
  - c. Networks or collaborations fostered;

- d. Technologies/Techniques;
  - e. Inventions/Patent Applications, licensing agreements; and
  - f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
7. For projects involving computer modeling, provide the following information with the final report:
- a. Model description, key assumptions, version, source and intended use;
  - b. Performance criteria for the model related to the intended use;
  - c. Test results to demonstrate the model performance criteria were met (e.g., code verification/validation, sensitivity analyses, history matching with lab or field data, as appropriate);
  - d. Theory behind the model, expressed in non-mathematical terms;
  - e. Mathematics to be used, including formulas and calculation methods;
  - f. Whether or not the theory and mathematical algorithms were peer reviewed, and, if so, include a summary of theoretical strengths and weaknesses;
  - g. Hardware requirements; and
  - h. Documentation (e.g., users guide, model code).

Electronic Submission. The final scientific/technical report must be submitted electronically-via the DOE Energy Link System (E-Link) accessed at <http://www.osti.gov/elink-2413>.

Electronic Format. Reports must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. Materials, such as prints, videos, and books, that are essential to the report but cannot be submitted electronically, should be sent to the Contracting Officer at the address listed in Block 16 of the Assistance Agreement Cover Page.

Submittal Form. The report must be accompanied by a completed electronic version of DOE Form 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)." You can complete, upload, and submit the DOE F.241.3 online via E-Link. You are encouraged not to submit patentable material or protected data in these reports, but if there is such material or data in the report, you must: (1) clearly identify patentable or protected data on each page of the report; (2) identify such material on the cover of the report; and (3) mark the appropriate block in Section K of the DOE F 241.3. Reports must not contain any limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release. Protected data is specific technical data, first produced in the performance of the award that is protected from public release for a period of time by the terms of the award agreement.

## **Conference Papers/Proceedings**

Content: The recipient must submit a copy of any conference papers/proceedings, with the following information: (1) Name of conference; (2) Location of conference; (3) Date of conference; and (4) Conference sponsor.

Electronic Submission. Scientific/technical conference paper/proceedings must be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/elink-2413>. Non-scientific/technical conference papers/proceedings must be sent to the URL listed on the Reporting Checklist.

Electronic Format. Conference papers/proceedings must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. If the proceedings cannot be submitted electronically, they should be sent to the DOE Administrator at the address listed in Block 16 of the Assistance Agreement Cover Page.

Submittal Form. Scientific/technical conference papers/proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on E-Link at <http://www.osti.gov/elink-2413>. This form is not required for non-scientific or non-technical conference papers or proceedings.

## **Software/Manual**

Content. Unless otherwise specified in the award, the following must be delivered: source code, the executable object code and the minimum support documentation needed by a competent user to understand and use the software and to be able to modify the software in subsequent development efforts.

Electronic Submission. Submissions may be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/estsc/241-4pre.jsp>. They may also be submitted via regular mail to:

Energy Science and Technology Software Center  
P.O. Box 1020  
Oak Ridge, TN 37831

Submittal Form. Each software deliverable and its manual must be accompanied by a completed DOE Form 241.4 "Announcement of U.S. Department of Energy Computer Software." The form and instructions are available on E-Link at <http://www.osti.gov/estsc/241-4pre.jsp>.

**Protected Personally Identifiable Information (PII). Management Reports or Scientific/Technical Reports must not contain any *Protected* PII. PII is any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in public sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, e-mail address, home telephone number, and general educational credentials. In contrast, *Protected* PII is defined as an individual's first**

**name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc.**

### **C. FINANCIAL REPORTING**

Recipients must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. A fillable version of the form is available at [http://www.whitehouse.gov/omb/grants/grants\\_forms.aspx](http://www.whitehouse.gov/omb/grants/grants_forms.aspx).

### **D. CLOSEOUT REPORTS**

#### **Final Invention and Patent Report**

The recipient must provide a DOE Form 2050.11, "PATENT CERTIFICATION." This form is available at <http://www.directives.doe.gov/pdfs/forms/2050-11.pdf> and [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

### **E. OTHER REPORTING**

#### **Annual Indirect Cost Proposal and Reconciliation**

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual indirect cost proposal, reconciled to its financial statements, within six months after the close of the fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs.

Cognizant Agency. The recipient must submit its annual indirect cost proposal directly to the cognizant agency for negotiating and approving indirect costs. If the DOE awarding office is the cognizant agency, submit the annual indirect cost proposal to the DOE Administrator at the address listed in Block 16 of the Assistance Agreement Cover Page.

#### **Audit of For-Profit Recipients**

As required by 10 CFR 600.316, as supplemented by For-Profit Audit Guidance Parts I through IV, audits must be performed of For-Profit Recipients of financial assistance awards (prime awards) and sub-awards.

For-Profit Audit Guidance Parts I through IV to assist for-profit recipients in complying with the audit requirements of 10 CFR 600.316 are posted on the Financial Assistance Forms page of the MA home page under the 'Coverage of Independent Audits' subheading, [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

## **SF-428 Tangible Personal Property Report Forms Family**

**Requirement.** The SF-428 is a forms family consisting of 5 forms: the SF-428, SF-428-A, SF-428-B, SF-428-C and SF-428S. The SF-428 is the cover page and the submitter attaches the appropriate form or forms as listed on the SF-428. The SF-428A is the Annual report, the SF-428B is the Final Award Closeout Report, the SF-428C is the Disposition Report/Request, and the SF-428S is the supplemental form for the SF-428-A, SF-428-B, and SF-428-C.

If at any time during the award the recipient is provided Government-furnished property or acquires property with project funds and the award specifies that the property vests in the Federal Government (i.e. federally owned property), the recipient must submit an annual inventory of this property to the DOE Administrator using the SF-428 and SF-428-A forms at the address listed in Block 16 of the Assistance Agreement Cover Page no later than October 30<sup>th</sup> of each calendar year, to cover an annual reporting period ending on the preceding September 30<sup>th</sup>. The SF-428 and SF-428-B reports are required during closeout.

**Content of Inventory.** As required on the SF-428-A form, the inventory must include a description of the property, tag number, acquisition date, and acquisition cost, if purchased with project funds. The location of property should be listed under the Comments section. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.